



INDIAN HOME PROGRAM

FY 97 APPLICATION KIT

Prepared by:

**U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Office of Native American Programs**

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INTRODUCTION

This application kit should be used to apply for an Indian HOME Grant under the Indian HOME Grant Assistance Program, to facilitate both the preparation of applications and the HUD review and evaluation of eligible applications.

Cover sheets are provided for use in preparing your application. Each cover sheet has brief instructions for the information to be provided. Use each cover sheet as the first page for each tabbed section of your application. Use additional sheets as needed when developing sections of your application.

In addition, this kit contains a sample transmittal letter and a list of the items which are attached for your use in your application.

APPLICATION SUBMISSION

An original and one copy of your application must be submitted to the HUD Area Office of Native American Programs (Area ONAP) having jurisdiction over the applicant on or before 3:00 P.M. (Area ONAP local time) on the deadline specified in the Notice of Funding Availability (NOFA) published in the Federal Register. This application deadline is firm as to date and hour. In the interest of fairness to all competing applicants, the Department shall treat as ineligible for consideration any application that is received after the deadline. A listing of HUD Area ONAPs and their addresses is included in the NOFA.

THE SAN FRANCISCO OFFICE IS BEING CLOSING. APPLICANTS WHICH WOULD HAVE SENT THEIR APPLICATION THERE SHOULD SEND IT INSTEAD TO THE PHOENIX OFFICE.

INFORMATION CONTACT

If you have any questions about this application kit or the program in general, please contact your Area ONAP. A list of Area ONAPs, their addresses and phone numbers, is included as an appendix to the NOFA.

Area ONAP Number ____.
Area ONAP assigned application number ____.

FORMS, CERTIFICATIONS, AND WORKSHEETS

Please use this page as the COVER PAGE of your application.

**PUBLIC AND INDIAN HOUSING
OFFICE OF INDIAN NATIVE AMERICAN PROGRAMS**

APPLICATION FOR FISCAL YEAR 1997 FUNDING

Submitted By: _____
(Organization Name)

Contact Person: _____

Telephone: () _____

ACKNOWLEDGEMENT OF RECEIPT OF APPLICATION

Delivered To: _____ HUD Office of Native American Programs

Date/Time _____

ACKNOWLEDGEMENT OF RECEIPT OF APPLICATION

Delivered To: _____ HUD Office of Native American Programs

Date/Time _____

Provide narratives for each tab where a narrative is required. Provide completed application forms where required. Use the appropriate page from this kit as the cover sheet for the first page of each tabbed section of your application. Use additional sheets as needed when developing your application.

Your Checklist of Eligibility Requirements and Application Submission Requirements.

TAB 1	_____	Transmittal Letter.
TAB 2	_____	Fact Sheet
	_____	Standard Form-424, Application for Federal Assistance. Complete side one only. Name of the eligible applicant, e.g., a tribe or an authorized Tribal organization, must be in field 5, legal applicant. A resolution may be attached which authorizes another entity, e.g., a housing authority, to prepare the application on behalf of the eligible applicant; however, the eligible applicant must be the applicant and sign the application. The Catalog of Federal Domestic Assistance identifies this program as program number 14.239.
TAB 3	_____	Form HUD-4126, which contains the following certifications: <ul style="list-style-type: none"> (A) A certification that the applicant shall comply with the acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, implementing regulations at 49 CFR part 24 and the requirements of 24 CFR 954.4(e). (B) A certification that the applicant shall use HOME funds in compliance with all the requirements of 24 CFR part 954, the IHOME investment partnerships program interim rule. (C) Drug-free workplace. The certification with regard to the drug-free workplace required by 24 CFR part 24, subpart F and appendix C. (D) Debarment. The certification that neither the applicant nor its principals are presently excluded from participation in any HUD programs, as required by 24 CFR part 24, appendix A. (E) Audits. A certification that the applicant does not have an outstanding Indian HOME or ICDBG obligation to HUD that is in arrears, or it has agreed to a repayment schedule. A certification that the applicant does not have an overdue or unsatisfactory response to an audit finding(s). (F) Fire Safety. A certification that the applicant shall comply with the requirements of the Fire Authorization Administration Act of 1992 (Pub. L. 102-522). (G) Economic Opportunities for Low-Income and Very Low-Income Persons. A certification that the applicant shall comply with the requirements of Section 3 of the Housing and Urban Development Act of 1968 and the regulations in 24 CFR part 135 to the maximum extent consistent with, but not in derogation of, compliance with section 7(b) of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450e(b)).
TAB 4	_____	Drug-free workplace. In order to fulfill OMB requirements, a separate, complete text certification with regard to the drug-free workplace required by 24 CFR part 24, subpart F and appendix C.
TAB 5	_____	Administrative Capacity. To show that an applicant has adequate administrative capacity to undertake the project proposed, a written statement/determination by an OIG or non-federal auditor is to be included in an application.
TAB 6	_____	Form HUD-2880, Applicant/Recipient Disclosure/Update Report, as required under subpart C of 24 CFR part 12, Accountability in the Provision of HUD Assistance.
TAB 7	_____	Form HUD-4121, Indian HOME Program Grants. Comprehensive Approach; component that addresses the Comprehensive Approach For Expanding The Supply Of Affordable Housing. Indian tribes are not required to submit a Comprehensive Housing Affordability Strategy (CHAS), a Tribal Housing Plan, or a housing strategy to receive HOME funds. However, the application must demonstrate how the proposed project will contribute to a comprehensive approach for expanding the supply of affordable housing for members of the Indian tribe.
TAB 8	_____	Form HUD-4122, Indian HOME Program Grants. Project Summary; component that addresses the summary description of the proposed project including a geographical description of the operating area of the applicant and evidence which shows the project is within that operating area.
TAB 9	_____	Operation Plan. All proposed projects that shall be operated as rental projects MUST include a management and maintenance plan and a staffing plan for these functions. An agreement with the tribal IHA to manage the units is not sufficient as a management and maintenance staffing plan; the IHA must include projected staffing to carry out these functions.
TAB 10	_____	Form HUD-4125, Indian HOME Program Grants. Implementation Schedule.
TAB 11	_____	Form HUD-4123, Indian HOME Program Grants. Cost Summary.
TAB 12	_____	Project location map.
TAB 13	_____	Components that address the selection criteria. The applicant must provide a narrative and supporting documentation that are responsive to the selection criteria of sections I.(d)(1), (2), and (3) of this NOFA. This includes, but is not limited to, a description of how the HOME funds shall be used, and the various kinds of information that are necessary in order to apply the selection criteria and rating factors.

TAB 1--TRANSMITTAL LETTER.

Date _____

U.S. Department of Housing
and Urban Development

Re: Indian HOME Grant Application

In response to the FY 1997 Indian HOME Grant Assistance Program Notice of Funding Availability (NOFA), I enclose our application to receive Indian HOME grant assistance from the Department of Housing and Urban Development. Enclosed are one original and one copy of our application. Each set of materials includes:

COVER PAGE
INDIAN HOME GRANT ASSISTANCE PROGRAM APPLICATION CHECKLIST
TAB 1--TRANSMITTAL LETTER
TAB 2--FACT SHEET AND STANDARD FORM-424, APPLICATION FOR FEDERAL ASSISTANCE
TAB 3--CERTIFICATIONS, FORM HUD-4126
TAB 4--DRUG-FREE WORKPLACE CERTIFICATION
TAB 5--ADMINISTRATIVE CAPACITY CERTIFICATION
TAB 6--FORM HUD-2880, APPLICANT/RECIPIENT DISCLOSURE/UPDATE REPORT
TAB 7--FORM HUD-4121, COMPREHENSIVE APPROACH
TAB 8--FORM HUD-4122, PROJECT SUMMARY
TAB 9--OPERATION PLAN FOR RENTAL PROJECTS
TAB 10--FORM HUD-4125, IMPLEMENTATION SCHEDULE
TAB 11--FORM HUD-4123, COST SUMMARY
TAB 12--PROJECT LOCATION MAP
TAB 13--COMPONENTS THAT ADDRESS THE SELECTION CRITERIA

Our organization is applying for a/an: (please check one)

- ☐ Rehabilitation Grant
☐ Acquisition Grant
☐ New Construction Grant

If you have questions, please call me at () _____ .

Sincerely,

Name:
Title:
Organization:
Street Address:
City/State/Zip:

TAB 2--FACT SHEET AND STANDARD FORM-424, APPLICATION FOR FEDERAL ASSISTANCE.

Name of Applicant_____

Contact_____

Street Address_____

City/State/Zip_____

Telephone No.()_____

If the applicant proposes to involve its IHA, the IHA must not have been disqualified for funding of new projects, as determined in accordance with 24 CFR 905.135. (A resolution may be attached which authorizes another entity, e.g., a housing authority, to prepare the application on behalf of the tribe; however, the tribe must be the applicant and sign the application.) What is your situation?

Project type:

Number of units to be assisted:

Amount of grant request:

Provide information which shows that the grant amount requested is not in excess of the maximum per-unit subsidy amount (24 CFR 954.400) plus 15 percent for administrative costs (24 CFR 954.304). The grant amount requested divided by the product of 1.15 times the proposed number of units may not exceed the total development cost (the "TDC") standard for the area.

Insert completed Standard Form 424, Application for Federal Assistance, here.

TAB 3--CERTIFICATIONS.

Insert signed Form HUD-4126, which contains certifications, here.

TAB 4--DRUG-FREE WORKPLACE CERTIFICATION.

Insert signed Drug-Free Workplace certification text, which is the Drug-Free Workplace certification, here.

TAB 5--ADMINISTRATIVE CAPACITY CERTIFICATION.

Insert signed OIG or non-federal auditor's certification that applicant has adequate accounting/administrative control.

TAB 6--ACCOUNTABILITY IN THE PROVISION OF HUD ASSISTANCE.

Insert completed Form HUD-2880, Applicant/Recipient Disclosure/Update Report, as required under subpart C of 24 CFR part 12, Accountability in the Provision of HUD Assistance, here.

TAB 7--COMPREHENSIVE APPROACH.

The application must provide information which demonstrates how the project will contribute to a comprehensive approach for expanding the supply of affordable housing for members of the Indian tribe. (Indian tribes are not required to submit a Comprehensive Housing Affordability Strategy (CHAS), a Tribal Housing Plan, or a housing strategy to receive HOME funds.)

Insert completed Form HUD-4121, Indian HOME Program Grants; Description of Comprehensive Approach For Expanding The Supply Of Affordable Housing, here.

TAB 8--PROJECT SUMMARY DESCRIPTION.

An application must provide a brief narrative summary description of its proposed project that tells HUD what the applicant wants to do with program funds, provide a geographical description of the operating area of the applicant and show that the project is within the operating area of the applicant. The applicant must include this brief narrative summary description.

Insert completed Form HUD-4122, Indian HOME Program Grants; Project Summary, here.

TAB 9--OPERATION PLAN. All proposed projects that shall be operated as rental projects must include a management and maintenance plan and a staffing plan for these functions. An agreement with the tribal IHA to manage the units is not sufficient as a management and maintenance staffing plan; the IHA must include projected staffing to carry out these functions.

Insert your Operation Plan here.

TAB 10--IMPLEMENTATION SCHEDULE.

TERM OF GRANT AVAILABILITY--In developing the description of your project and designing the implementation schedule for the project, recognize the limitations on the term of grant availability. Pursuant to § 954.500(c), "HUD will recapture HOME funds that are not expended within five years after the last day of the month in which the funds it obligated the funds." At most, the grantee has five years to spend all the funds.

Insert completed Form HUD-4125, Indian HOME Program Grants; Implementation Schedule, here.

The Implementation Schedule will be used by HUD to evaluate the timeliness of the implementation and completion of your project. You should use it for the same purposes. You may amend the Implementation Schedule if events outside your control delay your progress.

TAB 11--PROJECT COST SUMMARY.

Insert completed Form HUD-4123, Indian HOME Program Grants; Cost Summary, here.

TAB 12--PROJECT LOCATION MAP.

Insert your Project Location Map here.

TAB 13--COMPONENTS THAT ADDRESS THE SELECTION CRITERIA

The Three Selection Criteria

Each project submitted for grant funding shall be evaluated using three criteria (24 CFR 92.604). They are:

- (1) Need and Design,
- (2) Planning and Implementation, and
- (3) Leveraging.

See Figures 1 and 2. The three selection criteria and the complete rating and ranking process are described in detail in the NOFA. Remember, the HOME program is for **low-income and very low-income** persons.

Figure 1--INDIAN HOME PROGRAM SCORING	
Selection Criteria	Maximum Points
Need and Design	30
Planning and Implementation	40
Leveraging	30

Figure 2. All the points which can be earned are summarized as follows:				
Need and Design			30
Need	(15)		
Need/Quantity/Documentation	4		
Need/Quantity/Demographics	3		
Responsiveness	3		
Benefit	5		
Project Feasibility	(15)		
Planning and Implementation			40
Financial	(15)		
Property/Cost/Ability to Pay	6		
Cashflow thru Completion	3		
Feasibility thru Affordability Period	3		
Cost Effectiveness Test	3		
Legal and Administrative	(10)		
Staffing Plan	(15)		
Leveraging			30

APPENDIX--LIST OF ITEMS WHICH ARE ATTACHED

1. Standard Form-424. Application for Federal Assistance.
2. Form HUD-4121. Needs Description Comprehensive Approach.
3. Form HUD-4122. Project Summary.
4. Form HUD-4123. Cost Summary.
5. Form HUD-4125. Implementation Schedule.
6. Form HUD-4126. Certifications.
7. Text for Certification Regarding Drug-Free Workplace Requirements.
8. Form HUD-2880. Applicant/Recipient Disclosure/Update Report.
9. Guidance Documents and Other Essential Application Information

FY 1997 INDIAN HOME PROGRAM

GUIDANCE DOCUMENTS AND OTHER ESSENTIAL APPLICATION INFORMATION

1. FY 1997 Indian HOME NOFA
2. FY 1997 Indian HOME Application Kit
3. FY 1997 Income Limits for Low-Income and Very-Low Income Households - Beneficiaries of Indian HOME funds are restricted to very low-income and low-income households only. These limits are available on the internet (WWW.huduser.org/fmrdata97/fairmkt.html). Please note that the limits labeled "low-income" on the tables are the limits you should use to determine if a beneficiary is of low or moderate income status.
4. Income Determinations - As required at 24 CFR 954.302, when making income determinations, applicants/grantees are to use the definitions (i.e., annual income, adjusted income, etc.) contained in 24 CFR 950.102. An amendment to this section was published on August 30, 1996, which added exclusions from annual income in addition to those contained in 24 CFR 950.102.
5. Total Development Cost Standards - The amount of HOME funds that a grantee may invest on a per-unit basis in affordable housing may not exceed the total development cost standard for the area. These standards were issued in Notice 96-26 and are available on the internet (WWW.codetalk.fed.us/pihnotic.html).
6. Housing Quality Standards - Housing that is assisted with Indian HOME funds must, at a minimum, meet the standards referenced in 24 CFR 954.303 and 954.305 (g) and are located at 24 CFR 882.109. As noted in 24 CFR 954.401, additional standards or requirements may apply if the project involves new construction or substantial rehabilitation.
7. Qualification as Affordable Housing - As required in regulations at 24 CFR 954.307(a)(1)(i), for a unit intended for homeownership to be eligible for Indian HOME assistance, it must have an initial purchase price (or value) that does not exceed 95 percent of the median purchase price for the type of single family housing for the type of single family housing for the area. The mortgage limits of these purchases are listed by state and county on the internet (WWW.hud.gov/fha/sfh/sfhlicos.html).
8. FY 1997 Indian HOME Program Rents - As required in regulations at 24 CFR 954.306 for a proposed rental housing project to be eligible for Indian HOME assistance it must qualify as affordable housing. Rental limits by state and county (or MSA) are available on the internet (WWW.huduser.org/fmrdata97/fairmkt.html).
9. Interim Indian HOME Program Regulations - Published 6/21/96

FY 1997 IHOME PROGRAM**GUIDANCE DOCUMENTS AND OTHER ESSENTIAL APPLICATION INFORMATION**

1. FY 1997 IHOME NOFA - 02/ /97
2. FY 1997 IHOME Application Kit - 02/ /97
3. FY 1997 Income Limits for Low-Income and Very-Low Income Households - Beneficiaries of Indian HOME funds are restricted to very low-income and low-income households only. These limits are available on the internet @ WWW.huduser.org/fmrdata97/fairmkt.html Please note that the limits labeled "low-income" on the tables are the limits you should use to determine if a beneficiary is of low or moderate income status.
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5. Total Development Cost Standards - The amount of HOME funds that a grantee may invest on a per-unit basis in affordable housing may not exceed the total development cost standard for the area. These standards are available on the internet @ WWW.codetalk.fed.us/pihnotic.html
6. Housing Quality Standards - Housing that is assisted with IHOME funds must, at a minimum, meet the standards referenced in 24 CFR 954.303 and 954.305 (g). Enclosed are the above referenced standards. As noted in §954.401, additional standards or requirements may apply if the project involves new construction or substantial rehabilitation.
7. Qualification as Affordable Housing - As required in regulations at §954.307(a)(1)(i), for a unit intended for homeownership to be eligible for IHOME assistance, it must have an initial purchase price (or value) that does not exceed 95% of the median purchase price for the type of single family housing for the type of single family housing for the area. The mortgage limits of these purchases are listed by state and county on the internet @ WWW.hud.gov/pha/sfhlicos.html
8. FY 1997 IHOME Program Rents - As required in regulations at §954.306 for a proposed rental housing project to be eligible for IHOME assistance it must qualify as affordable housing. Rental limits by state and county (or MSA) are available on the internet @ WWW.huduser.org/fmrdata97/fairmt.html
9. Interim IHOME Program Regulations - Published 6/21/96